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|--------------------------------|---|-------------------|
| Customer No.                   | 026418  |                   |
| Attorney's Docket No.:         | JG-SU-5212/500577.20065   |                   |
| U.S. Application No.:          | To be Assigned <b>10/527566</b>                                       |                   |
| International Application No.: | PCT/JP2003/11760  |                   |
| International Filing Date:     | September 12, 2003  | 12 September 2003 |
| Priority Date Claimed:         | September 18, 2002  | 18 September 2002 |
| Title of Invention:            | HEAT SHIELDING MEMBER OF SILICON SINGLE CRYSTAL PULLING-UP DEVICE     |                   |
| Applicant(s) for (DO/EO/US):   | Kazuhiro HARADA, Senlin FU, Yoji SUZUKI, Hisashi FURUYA, Hidenobu ABE |                   |

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☒ 1. This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ 2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ 3. This express request to begin national examination procedures [35 U.S.C. 371 (f)]. The submission must include items (5), (6), (9), and (21) indicated below.
- ☐ 4. The US has been elected (Article 31).
- ☒ 5. A copy of **Publication No. WO2004/027124 A1** the International Application as filed [35 U.S.C. 371(c)(2)]
- a) ☒ attached hereto (required only if not communicated by the International Bureau).
- b) ☐ has been communicated by the international Bureau.
- c) ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
- ☒ 6. An English language translation of the **Publication No. WO2004/027124 A1** International Application as filed [35 U.S.C. 371(c)(2)]
- a) ☒ is attached hereto
- b) ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
- ☐ 7. Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
- a) ☐ are attached hereto (required only if not communicated by the International Bureau).
- b) ☐ have been communicated by the international Bureau.
- c) ☐ have not been made; however, the time limit for making such amendments has **NOT** expired.
- d) ☐ have not been made and will not be made
- ☐ 8. An English language translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)]
- ☐ 9. An EXECUTED Oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)] **TO FOLLOW LATER**
- ☐ 10. An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)]

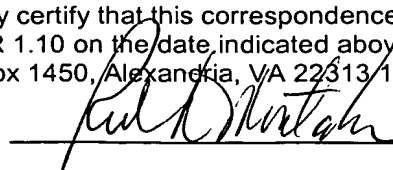
**Items 11. to 20. Below concern other document(s) or information included:**

- ☐ 11. An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98
- ☐ 12. An Assignment document for recording. A separate cover sheet (PTO-1595) in compliance with 37 CFR 3.28 and 3.31 is included.
- ☐ 13. A preliminary amendment
- ☐ 14. An Application Data Sheet under 37 CFR 1.76
- ☐ 15. A substitute specification with abstract (attached to the preliminary amendment)
- ☐ 16. A change of power of attorney and/or address letter
- ☐ 17. A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 V+CFR1.821-1.825.
- ☐ 18. A second copy of the published International Application under 35 U.S.C. 154 (d)(4).
- ☐ 19. A second copy of the English language translation of the International Application under 35 U.S.C. 154 (d)(4).
- ☒ 20. (other items or information)  
Form PCT/B301, PCT/IB/304, PCT/IB/308

EXPRESS MAIL No.: **EV 398 731 654 US**

dated: **March 11, 2005**

I hereby certify that this correspondence is being deposited with the United States Postal Service Express mail under 37 CFR 1.10 on the date indicated above and is addressed to: Mail Stop PCT, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450



/Ruth Montalvo Date: **March 11, 2005**

|  |              |  |              |             | Applicant use      | Office use only |
|--|--------------|--|--------------|-------------|--------------------|-----------------|
| <input checked="" type="checkbox"/> 21. The following fees are submitted:  |              |  |              |             |                    |                 |
| [X] a) BASIC NATIONAL FEE  |              |  |              |             | \$ 300.00          | \$ 300.00       |
| [X] b) Examination fee   |              |  |              |             | \$ 200.00          | \$ 200.00       |
| [X] C) Search fee  |              |  |              |             | \$ 500.00          | \$ 500.00       |
| <b>TOTAL OF ABOVE CALCULATIONS: \$ 1,000.00</b>  |              |  |              |             | <b>\$ 1,000.00</b> |                 |
| [ ] Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250.00 for each additional 50 sheets of paper or fraction thereof. |              |  |              |             |                    |                 |
| Total sheets   | Extra sheets | Number of each additional 50 or fraction thereof (round up to a whole number.) |              | Rate        |                    |                 |
| 32- 100 =  | 0 /50 =      |  |              | X \$250.00  | \$                 |                 |
| Surcharge of \$ 130.00 for furnishing the oath or declaration later than 30 month from the earliest claimed priority date (37 CFR 1.492(e))  |              |  |              |             | \$                 |                 |
| Claims   | Number Filed |  | Number Extra | Rate        |                    |                 |
| Total Claims:  | 17           | - 20   | 0            | X \$ 50.00  | \$                 |                 |
| Independent Claims:  | 1            | - 3  | 0            | X \$ 200.00 | \$                 |                 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |              |  |              |             | + \$ 360.00        | \$              |
| <b>TOTAL OF ABOVE CALCULATIONS:</b>  |              |  |              |             | <b>\$1,000.00</b>  |                 |
| Surcharge of \$130.00 for furnishing the oath or declaration later than [ ] 20 [ ] 30 months from the earliest claimed priority date [37 CFR 1.492(e)]   |              |  |              |             | \$                 |                 |
| <b>TOTAL OF ABOVE CALCULATIONS:</b>  |              |  |              |             | <b>\$1,000.00</b>  |                 |
| [x] Applicant claims Small Entity Status [See 37 CFR 1.27] Reduction by ½ for filing by small entity   |              |  |              |             | \$                 |                 |
| <b>SUBTOTAL:</b>   |              |  |              |             | <b>\$1,000.00</b>  |                 |
| Processing fee of \$130.00 for furnishing the English Translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date [37 CFR 1.492(f)]  |              |  |              |             | +                  |                 |
| <b>TOTAL NATIONAL FEE:</b>   |              |  |              |             | <b>\$1,000.00</b>  |                 |
| Fee for recording the enclosed assignment [37 CFR 1.21(h)] The assignment must be accompanied by an appropriate cover sheet (PTO-1595) [37 CFR 3.28, 3.31]. \$ 40.00 per property  |              |  |              |             | \$                 |                 |
| <b>TOTAL FEE(S):</b>   |              |  |              |             | <b>\$1,000.00</b>  |                 |
| <b>AMOUNT TO BE REFUNDED</b>   |              |  |              |             | \$                 |                 |
| <b>AMOUNT TO BE CHARGED</b>  |              |  |              |             | \$                 |                 |

(Please note the filing fee is based on the claims in the Preliminary Amendment)

- a) [X] Checks in the amount of \$ 1,000.00 to cover the above fees is enclosed.
- b) [X] Please charge my Deposit Account No 50-1529 in the amount of \$ to cover the fee..
- c) [X] The Commissioner is hereby authorized to charge any additional fees required with this submission or to credit any overpayment to Deposit Account No: 50-1529.)
- d) [ ] Fee are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 36 CFR 1.494 or 1.495 has not been met, a petition to revive [37 CFR 1.137(a) or (b)] must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

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**Jules E. Goldberg**

Name

Date 3/11/05

*Jules E. Goldberg*

24,408

March 11, 2005  
 Reg. No. 24,408

(Tel. (212) 521-5400)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re International Application of

Kazuhiko HARADA et al.

International Application Number: PCT/JP03/11760

International Filing date: September 12, 2003

For: HEAT SHIELDING MEMBER OF SILICON SINGLE CRYSTAL PULLING-UP  
DEVICE

VERIFICATION OF TRANSLATION

Honorable Commissioner of Patents and Trademarks

Washington, D.C. 20231

Sir:

I, Masayoshi Suda residing at Suda Patent Office, Nissei Higashi-Ikebukuro Bldg., Higashi-Ikebukuro 1-chome, Toshima-ku, Tokyo Japan, declare:

- (1) that I know well both the Japanese and English languages;
- (2) that I translated the above-identified International Application from Japanese into English;
- (3) that the attached English translation is a true and correct translation of the above-identified International Application to the best of my knowledge and belief; and
- (4) that all statements made of my knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements are made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 UC 1001 and that such false statements may jeopardize the validity of the application or any patent issuing thereon.

February 14, 2005 Masayoshi Suda  
\_\_\_\_\_  
Date Masayoshi Suda